



# **CIRM CONFLICT OF INTEREST POLICY FOR FACILITIES WORKING GROUP MEMBERS**

*Approved by ICOC December 7, 2006*



## **CIRM CONFLICT OF INTEREST POLICY FOR FACILITIES WORKING GROUP MEMBERS**

To be successful, the CIRM research program, which is funded by the taxpayers of California, must make awards in a way that is open, fair and free from bias. Consistent with this aim, the evaluation of funding grants by the Scientific and Medical Research Facilities Working Group (Facilities Working Group) must be free both from real and apparent conflicts of interest. The CIRM is committed to strong and effective conflict of interest policies.

The California Stem Cell Research and Cures Act expressly prohibits Facilities Working Group members from benefiting financially from grant awards. Real estate specialists serving on the Facilities Working Group may not receive compensation from any construction or development entity providing specialized services for medical research facilities. In addition, Facilities Working Group members may not provide real estate facilities brokerage services for any applicant for a facilities grant, or for any entity that receives funding from the Facilities Working Group. Finally, they shall not receive compensation from any recipient of CIRM funding grants. (Health & Safety Code section 125290.65(a) (2).)

The following conflict of interest policy for members of the Facilities Working Group establishes additional conflict of interest protections, and is closely modeled on the policies of NIH and the California Special Research Program. A conflict of interest exists when a Facilities Working Group member has a real or apparent interest in the outcome of an application such that the member is in a position to gain financially, professionally or personally from either a positive or negative evaluation of the grant proposal.

### **Financial:**

A member has a financial conflict of interest if:

- (1) The member, his or her spouse or any other person with whom the member has a common financial interest, is an employee of any construction, real estate or development entity on an application.
- (2) The member, his or her spouse or any other person with whom the member has a common financial interest, is under active consideration for employment at an applicant entity.

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- (3) A member, his or her spouse or any other person with whom the member has a common financial interest, stands to receive a financial benefit of any amount from an application under review.
- (4) A member, his or her spouse or any other person with whom the member has a common financial interest, has received or could receive a financial benefit of any type from an applicant institution or organization unrelated to the proposal, of over \$5,000 per year. This total includes honoraria, fees, stock and other benefits. It also includes current stock holdings, equity interest, intellectual property or real property interest, but does not include diversified mutual funds.

**Professional:**

A member has a professional conflict of interest if the reviewer and a project director or manager of an application are engaged in, or are planning to be engaged in in the last three years, a joint project.

**Personal:**

A non-ICOC member has a personal conflict of interest if he or she:

- (1) has a close personal ties to the project director or manager for the applicant institution; or
- (2) serves in an advisory capacity to the applicant institution or any of its departments or affiliated associations, such as an alumni association or athletic foundation; or
- (3) has an immediate family member who is a current employee, student or faculty member of the applicant institution; or
- (4) has long-standing personal or professional differences with the project director or manager for the applicant institution.

A member is required to report to the CIRM staff member any conflict of interest of which he or she is aware, including, but not limited to, those described above. Except under unusual circumstances, any member of the Facilities Working Group who has a real or apparent conflict of interest with respect to an application may not review or vote on the application and must leave the room when that application is discussed. In exceptional cases, the President of the CIRM may decide that the need for special expertise of the reviewer outweighs any possible bias posed by a real or apparent conflict of interest. Under these circumstances, the CIRM staff shall publicly disclose the working group member's interest before the meeting and the working group member shall be permitted to participate in the discussion but will not be permitted to vote on the application or participate in the scoring.

All reviewers must sign a pre-review statement indicating any possible conflicts of interest that they have, and must also sign a post-review statement that they did not

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participate in the discussion or review of any application for which they might have a conflict of interest.

### **Definitions**

1. *Applicant* includes both the project directors and the applicant entities.
2. *CIRM* is the California Institute for Regenerative Medicine
3. *Grant* means a grant, loan or guarantee.
4. *Facilities Working Group* refers to the Scientific and Medical Research Facilities Working Group
5. *Project Director* is an individual designated by the grantee to direct the project or activity being supported by the grant. He or she is responsible and accountable to the grantee and the CIRM for the proper conduct of the project or activity.
6. *Working Group* means any of three advisory bodies to the Independent Citizens' Oversight Committee (ICOC), the governing body of the CIRM. Working groups shall forward their recommendations to the ICOC for it to consider in making its decisions on applications for research and facility grants and loan awards and adopting regulatory standards.

I understand the conflict of interest policies of the CIRM and will report any and all conflicts of interest that I have with respect to applications submitted to the Facilities Working Group.

Signature: \_\_\_\_\_ Date: \_\_\_\_\_

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